

**In the US Patent and Trademark Office**

Application No.: 10/573,523  
Filing Date: 03/23/2006  
Inventors: Stephan Monier and Jean-Yves Le Gouil  
Title: Synchronous Rectification Device and Synchronous Electrical Machine  
Implementing Same

**Petition under 37 CFR 1.47**

**Filing when Inventors Refuse to Sign**

To: Commissioner for Patent and Trademark  
Washington, DC 20231

Sir:

The above titled invention was made by two co-inventors, Stephan Monier and Jean-Yves Le Gouil. The subject patent application was filed with the US Patent Office on March 23, 2006. Unfortunately, the two inventors have been non-responsive to sign the declaration despite multiple requests and letters to their last known address. The applicant hereby petitions under the provision of 37 CFR 1.47 to file the above referenced patent application in the case that the inventors refuse to sign.

Accompanying this petition is:

- a statement of facts verified and signed by a person having knowledge of the facts herein;  
and
- the petition fee set forth in 37 CFR 1.17(g).

Respectfully Submitted,



Ron Jacobs  
Reg. No. 50,142  
LUMEN Intellectual Property Services  
2345 Yale Street, 2<sup>nd</sup> Floor  
Palo Alto, CA 94306-1429

Phone: (650) 331-8411  
Fax: (650) 424-0141  
Email: ron@lumen.com

## STATEMENT OF FACTS

Named inventor(s) on US patent application 10/573,523 filed 03/23/2006:

Stephan Monier and Jean-Yves Le Gouil

Name and address of the two inventors that are non-responsive / refuse to sign the above referenced application (10/573,523):

Stephan Monier

Home Address:

13, Allee Arthur Rimbaud

95110 Sannois, France

Jean-Yves Le Gouil

Home Address:

8, rue des Gloriettes

95270 Jouy-Le-Moutier, France

Both inventors have a duty to assign to Johnson Controls Automotive Electronics, the assignee of the above referenced application and applicant on PCT application PCT/FR04/02407. On March 23 2006, Lumen IPS entered the US national stage for PCT application PCT/FR04/02407 as requested by the French firm Bloch Associates for their client Johnson Controls Automotive Electronics. On November 26, 2006, Lumen emailed Bloch Associates the signing instruction for the declaration of the subject case (**Exhibit 1 with unsigned declaration**, 3 pages). Bloch Associates sent the request to sign the declaration to the applicant on December 27, 2006 (see **Exhibit 2**, 1 page). The applicant then requested signatures from the inventors (2006 (see **Exhibit 2** and **Exhibit 3** (2 pages), **Exhibit 3** which includes letters to the inventors in their language French). During the remainder reply period to comply to the Notice of Missing parts, Lumen has repeatedly requested from Bloch Associates by email when to receive the signed declaration by the two inventors. Lumen was asked by Bloch Associates what the last day to reply is to comply with the notice of missing parts. Lumen had indicated to Bloch Associates that the last day to reply is 05/13/2007 including extension fees.

On May 11, 2007 Lumen, after again following up on the status with Bloch Associates, received an email (**Exhibit 4**, 1 page) from Bloch Associates included in the email as attachments **Exhibits 2 and 3**. These exhibits include letters to the two inventors signed by Mr. Rolland. Another letter is a statement by Ms. Croizer indicating that both inventors were non-responsive to their letters and request to sign the declaration.

I hereby declare to the best of my knowledge that all statements made herein are true and that all statements were made on information or belief are believed to be true.

Respectfully Submitted,



Ron Jacobs  
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Email: ron@lumen.com

**Subject: Signing Instructions - Lumen Ref. BLO-113/PCT/US - Your Ref.**

**VALEO0311191 -- ID:3148**

**Date:** Monday, November 20, 2006 12:54 PM

**From:** Sylvia Lee (Lumen IPS) <sylvia@lumen.com>

**To:** sury@bloch-associes.fr

**Cc:** archive@lumen.com

**Conversation:** Signing Instructions - Lumen Ref. BLO-113/PCT/US - Your Ref.

**VALEO0311191 -- ID:3148**

Re: Signing Instructions

Title: Synchronous Rectification Device and Synchronous Electrical Machine Implementing Same

Filing Date: 3/23/2006

Lumen Ref. BLO-113/PCT/US

Your Ref. VALEO0311191

Dear Christine:

Please find enclosed the Declaration, Assignment and Power of Attorney for the above mentioned case. Please review that the information (residence and citizenship) is correct and have the appropriate officials and inventors sign these documents and return them to me by 1/3/2007. The Assignment is an important legal document transferring ownership rights to the Assignee. Notarization of the signatures on the Assignment is optional but not required. Since the Assignment is a property transfer to Assignee, it is recommended that the Assignment be notarized or not notarized consistent with Assignee's general policy for property transfers.

If you have any questions regarding these documents, please contact me.

Thank you,

Sylvia

Cc:

Lumen's Archive

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Sylvia Lee  
Patent Specialist  
Lumen Intellectual Property Services, Inc.  
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This message may contain information that is Privileged or Confidential or Legally exempt from disclosure. This message is intended only for the addressee. If you are not the addressee (or responsible for delivery of the message to such person), do not copy or deliver this message to anyone. If you received this message in error, you should delete this message, and please notify us immediately. You may contact us at admin@lumen.com or at (650) 424-0100. Thank you.

Exhibit 1 1/3



Systèmes  
de Contrôle Moteur

Valeo Systèmes de Contrôle Moteur  
14, avenue des Béguines - BP 68532 Cergy  
95892 Cergy-Pontoise Cedex - France  
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Fax +33 (0)1 34 33 15 15

CABINET BLOCH & GEVERS  
23bis, Rue de Turin  
75008 PARIS

Cergy Pontoise,  
May 11th, 2007

N/Ref: JO424

« Synchronous rectification device and synchronous electrical machine implementing same »

Object:

Patent Application in the USA n° 10/573,523 filed on March 3rd 2006

Dear Sirs,

We are following our phone call of today regarding the declaration to be signed by the inventors in the above identified case.

We have received from your part a letter requesting the signature of the declaration on December 27<sup>th</sup>, 2006.

We have forwarded this declaration to Mr MONNIER on January 12<sup>th</sup>, 2007 (copy attached) with a request of acknowledgement of receipt. The date in the letter is January 12<sup>th</sup>, 2006 by mistake. We didn't receive any acknowledgement of receipt neither any answer from the inventor.

We have sent a reminder to the same inventor on April 27<sup>th</sup>, 2007 (copy attached) once again with a request of acknowledgement of receipt. We have not received any acknowledgement of receipt neither any answer yet.

In an attempt to speed up the procedure, we have sent parallelly a letter to the other inventor, Mr LE GOUIL on April 27<sup>th</sup>, 2007 (copy attached) with a request of acknowledgement of receipt. We have not received any acknowledgement of receipt neither any answer yet.

Please don't hesitate to come back to us in case of further question.

Please let us know any step which would be needed to ensure our rights.

Best regards

Sabrina CROIZER

Valeo Systèmes de Contrôle Moteur - Siège social : 14, avenue des Béguines - 95800 Cergy Saint-Christophe - France  
Tél. +33 (0)1 34 33 13 00 - Fax +33 (0)1 34 33 15 15 - S.A.S. au capital de 150 000 000 euros - 429 162 695 RCS Pontoise  
www.valeo.com

Exhibit 2 1/1



**Systèmes  
de Contrôle Moteur**

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**Mr MONIER Stephan  
13 Allée Arthur  
Rimbaud  
95110 SANNOIS**

Cergy Pontoise,  
Le 12 Janvier 2006

N/Ref : JO424

« Dispositif de redressement synchrone et machine électrique synchrone mettant en œuvre le dispositif »

Objet :

**Pouvoir de la demande de brevet au Etats-Unis n° 10/573,523**

Monsieur,

Afin de poursuivre notre procédure concernant cette demande de brevet, nous avons besoin de pouvoirs signés par les inventeurs.

Nous vous envoyons ce courrier par RAR pour éviter de perdre le courrier en cas de non-réception.

Nous vous remercions de bien vouloir signer ces pouvoirs (sans les dater) et nous les retourner. Devant l'urgence de ce dossier, il nous serait agréable d'en disposer au plus vite afin de faire signer le deuxième inventeur.

Nous vous en souhaitant bonne réception, et vous prions d'agréer, Madame, Monsieur, l'expression de nos sentiments distingués.

**Jean-Christophe ROLLAND**

Valeo Systèmes de Contrôle Moteur - Siège social : 14, avenue des Béguines - 95800 Cergy Saint-Christophe - France  
Tél. +33 (0)1 34 33 13 00 - Fax +33 (0)1 34 33 15 15 - S.A.S. au capital de 150 000 000 euros - 479 162 695 RCS Pontoise  
[www.valeo.com](http://www.valeo.com)

Exhibit 3 1/3



**Systèmes  
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Fax +33 (0)1 34 33 15 15

**Mr MONIER Stephan  
13 Allée Arthur  
Rimbaud  
95110 SANNOIS**

**URGENT**

Cergy Pontoise,  
Le 27 avril 2007

N/Ref : JO424

« Dispositif de redressement synchrone et machine électrique synchrone mettant en œuvre le dispositif »

Objet :

**Pouvoir de la demande de brevet au Etats-Unis n° 10/573,523**

Monsieur,

Nous faisons suite à notre courrier du 12 janvier 2007 dans le dossier indiqué en objet. Il nous semble que ce courrier est resté sans réponse de votre part.

A ce courrier était joint une « Declaration for Patent Application » ainsi qu'un « assignment » à signer pour la régularisation de notre demande aux USA.

Comme vous le savez nous avons absolument besoin de ces documents, faute de quoi nous risquons une perte de droit aux USA et c'est pour cela que nous revenons vers vous encore une fois.

Ils nous serait ainsi agréable de désormais disposer de ces pièces sans délai.

N'hésitez pas à nous contacter en cas de question.

Nous vous prions d'agréer, Monsieur, l'expression de nos salutations distinguées.

Jean-Christophe ROLLAND

Valeo Systèmes de Contrôle Moteur - Siège social : 14, avenue des Béguines - 95800 Cergy Saint-Christophe - France  
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Exhibit 3 2/3



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Mr LE GOUIL JY  
8, rue des Gloriettes  
95270 JOUY-LE-  
MOUTIER



Cergy Pontoise,  
Le 27 avril 2007

N/Ref : JO424

« Dispositif de redressement synchrone et machine électrique synchrone mettant en œuvre le dispositif »

Objet :

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Monsieur,

Afin de poursuivre notre procédure concernant cette demande de brevet, nous avons besoin de pouvoirs signés par les inventeurs.

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Nous vous remercions de bien vouloir signer ces pouvoirs (sans les dater) et nous les retourner. Devant l'urgence de ce dossier, il nous serait agréable d'en disposer au plus vite afin de faire signer le deuxième inventeur.

Nous devons impérativement recevoir ces documents signés avant le 7 mai.

Nous vous en souhaitant bonne réception, et vous prions d'agréer, Madame, Monsieur, l'expression de nos sentiments distingués.

Jean-Christophe ROLLAND

Valeo Systèmes de Contrôle Moteur - Siège social : 14, avenue des Béguines - 95800 Cergy Saint-Christophe - France  
Tél. +33 (0)1 34 33 13 00 - Fax +33 (0)1 34 33 15 15 - S.A.S. au capital de 150 000 000 euros - 479 162 695 RCS Pontoise  
www.valeo.com

Exhibit 3 3/3



**Subject: RE : TR : Your Ref.: VALEO 0311191; Our Ref.: BLO-113/PCT/US**

**Date:** Friday, May 11, 2007 8:56 AM

**From:** Martine BOUYGUES <martine.bouygues@bloch-gevers.fr>

**To:** "Sylvia Lee (Lumen IPS)" sylvia@lumen.com

**Conversation:** RE : TR : Your Ref.: VALEO 0311191; Our Ref.: BLO-113/PCT/US

Sylvia :

In addition to my statement, please find attached herewith some evidence.  
For the time being, that is all what I can forward.


Regards.

Gérard BLOCH

Exhibit 4 1/1

<b>POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM</b>	Application Number	10/573523
	Filing Date	3/23/2006
	First Named Inventor	Stephane Monier
	Art Unit	
	Examiner Name	
	Attorney Docket Number	BLO-113/PCT/US

<b>POWER OF ATTORNEY</b>
I hereby revoke all previous powers of attorney given in the above-identified application, entitled: <b>Synchronous Rectification Device and Synchronous Electrical Machine Implementing Same</b>
I hereby appoint Ron Jacobs, Reg. No. 50,142, Thomas J. McFarlane, Reg. No. 39,299, Marek Alboszta, Reg. No. 39,894, Robert Lodenkamper, Reg. No. 55,399, Miriam Kaplan, Reg. No. 55,315, Kenneth M. Benderly, Reg. No. 51,453, James Parris Reg. No. 51,135.
<b>CORRESPONDENCE ADDRESS</b>
Please recognize or change the correspondence address for the above-identified application to the address associated with Customer Number:
30869
<b>APPLICANT/INVENTOR OR ASSIGNEE</b>
I am the: <input type="checkbox"/> Applicant/Inventor <input checked="" type="checkbox"/> Assignee of Record of the entire interest *  * I am duly authorized to sign this instrument on behalf of assignee. I hereby declare that, to the best of my knowledge and belief, title is in the assignee and believe that said application has been assigned to assignee and that assignee therefore has the right to make this Power of Attorney and Exclusion of Inventor(s).  * I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

<b>SIGNATURE OF APPLICANT OR ASSIGNEE OF RECORD</b>			
SIGNATURE		DATE	4. April 2007
PRINTED NAME	Klaus Hemmelmann	TELEPHONE	+49/2174 65-4967
TITLE and COMPANY	Johnson Controls Automotive Electronics		
NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. Total of forms submitted: <u>1</u>			

This collection of information is required by 37 CFR 1.31, 1.32 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 USC 122 and 37 CFR 1.11 and 1.14. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.